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ABSTRACT

A formative evaluation was conducted of two elementary schools that have been engaged in the School/Community-Based Management (SCBM) process in Hawaii. The evaluation process was aligned with the SCBM philosophy, which promotes shared decision making, shared responsibility, and collaboration. Stakeholders contributed to the evaluation, which focused only on SCBM implementation processes. Student outcomes will be addressed in the fourth year of implementation. The project can be summarized by the key success factors that were identified and demonstrated in both schools, which are successfully implementing SCBM. One of the fundamental conclusions is that in the very early stages of introducing SCBM the principal is instrumental in initiating the process. During the implementation of SCBM the following were identified as key success factors: (1) shared vision; (2) open communication; (3) respect; (4) trust; (5) collaboration; (6) empowerment; (7) operational guidelines; and (8) continued support for change by the district and state offices. The separate case studies for Wai'alae Elementary School (Honolulu district) and Ma'ili Elementary School (Leeward District, Oahu) are included. Seven tables and one figure illustrate the evaluation, and a staff questionnaire is included. Five appendixes include lists of interviewees, interview protocols, and a team effectiveness inventory. (SLD)

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Evaluation of Implementation of School/Community-Based Management

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Conducted by the
Pacific Region Educational Laboratory
and the
Hawaii Business Roundtable
in cooperation with the
Evaluation Section
of the Planning and Evaluation Branch
of the Hawaii State Department of Education

Final Report

August, 1992

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Evaluation of Implementation of
School/Community-Based Management

EXECUTIVE SUMMARY

Based on a mutual interest in supporting School/Community-Based Management (SCBM), the Hawaii Business Roundtable (HBR), Pacific Region Educational Laboratory (PREL), and Evaluation Section of the Planning and Evaluation Branch of the Hawaii State Department of Education (DOE) agreed to collaborate on a formative evaluation project with two schools that have been engaged in the implementation of the SCBM process. This project was initiated by Wai'alae Elementary School's request for an external evaluation from PREL. Ma'ili Elementary was invited to participate in the project after the HBR, PREL, and DOE established their partnership.

The project convened an Evaluation Team comprised of staff from each of the three participating organizations. This team worked closely with the two schools throughout the evaluation process.

The evaluation process used at the school level was aligned with the philosophy of SCBM. SCBM promotes shared decision-making, shared responsibility, and collaboration. In this project the "stakeholders" in each school community contributed to the design of the evaluation. Each school community identified what it valued and, therefore, what it wanted evaluated. However, this phase of the evaluative process focused only on SCBM implementation processes. Student outcomes will be addressed in a summative external evaluation in the fourth year of implementation.

The Evaluation Team facilitated forums with the SCBM Councils at each school to identify the following:

- SCBM areas of focus
- Evaluation goals in relation to the SCBM focus
- Critical evaluation questions

Following the SCBM Council forums, the Evaluation Team organized the information and categorized evaluation questions into four categories: School/Community Connections, Governance/Organizational Systems, Teaching/Learning Situations, and Student Learning. The Evaluation Team also identified or developed the following:

- Sources of information
- Evaluation instruments
- Sampling strategy
- Data collection methodology and analytical techniques
- Reporting options
- Answers to critical evaluation questions

The Evaluation Team then collected and analyzed the data. The results of this analysis are included in this final report as case studies for each school. Also included are the following outcomes of this evaluation project: 1) a list of variables to assess the readiness of a school to enter into the SCBM process, 2) a list of key success factors required to

facilitate the implementation of SCBM, 3) an internal monitoring system that can be implemented by the school community to track its progress, and 4) a consultation model that can be used to support evaluation efforts at SCBM schools.

The project can be summarized by the key success factors that were identified and demonstrated by these two schools, which are successfully implementing SCBM. One of the fundamental and key results of the study reinforced the fact that in the very early stages of **introducing** (not implementing) SCBM, the principal is instrumental in initiating School/Community-Based Management. The leadership style of the principal needs to be facilitative. A collaborative, trusting climate must be established in order to successfully **introduce** SCBM. Effective communication must occur with all role groups from the very beginning. In addition, during the **implementation** of SCBM the following key success factors were identified and demonstrated by the stakeholders at Wai'alae and Ma'ili elementary schools:

- shared vision
- open communication
- respect
- trust
- collaboration
- empowerment
- operational guidelines
- continued support for change by the district and state offices

SCBM is a never-ending and dynamic process. Both of these schools have experienced many of the benefits of SCBM. They are beginning to assume local autonomy and have a fierce loyalty to the concept of SCBM. Wai'alae and Ma'ili elementary schools are model SCBM schools for the State of Hawaii. Other schools can learn from the experiences of these two schools.

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INTRODUCTION AND OVERVIEW

Act 366 of the Hawaii State Legislature was signed into law by Governor John Waihee on June 19, 1989. This law is a major initiative in Hawaii designed to facilitate improved student performance in the public school system through School/Community-Based Management (SCBM).

The purpose of School/Community-Based Management is to improve the quality of education by: 1) providing schools with administrative flexibility, and 2) empowering each school's community to make and implement decisions that will directly affect its members, especially students. Implementation of SCBM is expected to:

- Enhance student learning
- Focus accountability within each school
- Define new roles for the state, district, and school to facilitate local management
- Expand options for the acquisition and use of resources
- Improve the morale of schools and their communities
- Increase the quality and spread of communication among members of a school's community
- Create a sense of ownership among participants
- Stimulate and nurture leadership throughout the school system
- Provide a laboratory for significant educational research

The SCBM restructuring approach is intended to bring decision making closer to those who are accountable for and involved in children's learning. The decision makers are the school community members from six different role groups: students, teachers, administrators, classified staff, parents, and community members. The school community as a whole is the crucial "stakeholder" in the education of its students.

The process for implementing SCBM has two major milestones for each school. The school submits a Letter of Intent to the State Department of Education and then later a Proposal to Implement is submitted for approval. The Letter of Intent signifies that the school community has agreed to develop an SCBM implementation plan. The plan, which includes a vision for the school and how SCBM will be implemented at the site to pursue this vision, forms the basis of the Proposal to Implement.

As schools begin to restructure through the implementation of SCBM, there is a need to evaluate whether or not the decisions being made at the school level are effective and have long-range impact. This evaluation project examines the implementation of SCBM at two elementary schools that differ demographically. This evaluation does not address changes in teaching or student learning. Assessment of teaching and learning outcomes will occur after sufficient time lapses to allow for impact in these areas. This evaluation project focused on school/community connections and governance/organizational systems for the two schools as they implemented SCBM. The internal monitoring system developed in this project will help schools track impact of SCBM on student achievement.

PROCEDURES

Initial Organization of the Project

The procedures used for this evaluation were aligned with the philosophy of shared responsibility, shared decision-making, and collaboration as promoted by SCBM. A partnership was developed between the Pacific Region Educational Laboratory (PREL), Hawaii Business Roundtable (HBR), and the Evaluation Section of the Planning and Evaluation Branch of the Hawaii State Department of Education (DOE). The Evaluation Team that was convened to work directly with the schools consisted of:

• Mr. Mike Heim	Evaluation Section Planning and Evaluation Branch State Department of Education
• Ms. Pat Ho	Evaluation Section Planning and Evaluation Branch State Department of Education
• Dr. Richard Miller	Kaiser Permanente Hawaii Business Roundtable
• Ms. Karen Y. Aka	Pacific Region Educational Laboratory
• Dr. James Brough	Pacific Region Educational Laboratory

In-kind contributions from HBR and DOE included time and effort from Dr. Richard Miller and Ms. Pat Ho. The Hawaii Business Roundtable provided $35,000 to fund the evaluation through a one-year contract with PREL.

The Evaluation Design

Members of the Evaluation Team met with each school, providing an opportunity for each school community to give input toward the design of its evaluation. Each school identified its:

- SCBM areas of focus
- Evaluation goals in relation to the SCBM focus
- Critical evaluation questions

The input from each school was organized and interpreted in terms of the evaluative process. The SCBM focus and goals were defined, and the critical questions were converted to evaluation questions. Many times the critical questions voiced by the school community were broad, general research questions as opposed to evaluation questions. The Evaluation Team examined these research questions and, when appropriate, modified them to focus on the evaluation of an important identified area.

The evaluation questions were categorized into four areas that guided the design for evaluating SCBM. These areas are:

- School/Community Connections
- Governance/Organizational Systems

- Teaching/Learning Situations
- Student Learning

Since this evaluation was conducted during the first year of implementation, and because the research indicates that impact on teaching and student learning is minimal in the first year of implemented change, this project only focused on the school/community connections and governance/organizational systems. An external evaluation during the fourth year of implementation will address the areas of teaching/learning situations and student learning. The internal monitoring system in this project, however, does provide the schools with a way to collect impact data and monitor progress. This information can be used in future external evaluations.

Based on the areas of focus, evaluation goals and evaluation questions were formulated. The team then went back to each school and reviewed the evaluation design to ensure accuracy of interpretation. The following two attachments present the evaluation designs for Wai'alae and Ma'ili elementary schools. The evaluation was planned as a four-year process, as shown in the notations below the evaluation questions. In the areas of teaching/learning situations and student learning, the schools will collect data and monitor progress beginning in Year 2, with an external evaluation of these areas planned for Year 4.

School/Community-Based Management
Formative Evaluation Design
Wai'alae Elementary
1991-1992

SCBM Focus:	Students who are creative problem solvers, self-confident, risk takers, well-rounded individuals, lifelong learners

Strategies:	Professional Development Parent Involvement Classroom Teaching/Learning

Evaluation Questions

School/Community Connections	Governance/Organizational Systems	Teaching/Learning Situations	Student Learning
1. Is the current restructuring/SCBM effort effectively enhancing school/parent/community collaboration? 2. Is the state/district DOE supporting Wai'alae's reform efforts? 3. Is there a relationship between the restructuring effort and the PCNC, A+, FWS, home, and special education?	1. Does the restructuring/SCBM effort ensure continuity when staff changes? 2. Are the funding and support services promoting the success of restructuring? 3. Is the restructuring/SCBM effort making optimal use of the facilities?	1. Is the proposed social studies/science curriculum, as it relates to the vision, effective? 2. Is the multi-dimensional student evaluation system, as it relates to the vision, effective? 3. Is having specialists in a specific curriculum area effective? 4. Is the articulation and professional dialogue affecting: -teacher morale, -teacher involvement, -teacher relationships with students, -teacher relationships with other teachers?	1. Is the proposed instructional delivery enhancing student outcomes? 2. Are the existing evaluation and testing tools appropriate for the "restructured" setting? 3. How long after the initiation of restructuring are there positive student outcomes? 4. Does collaboration contribute to positive student outcomes? 5. Is the articulation and professional dialogue affecting student outcomes?
Years 1, 2, 3, 4	Years 1, 2, 3, 4	Years 2, 3, 4	Years 2, 3, 4

School/Community-Based Management
Formative Evaluation Design
Ma'ili Elementary
1991-1992

SCBM Focus:

1. Student Learning
   - Academic achievement
   - Self-esteem
2. School/Community Relationship
3. Values
   - Responsibility
   - Pride
   - Happiness
   - Open Communication

Evaluation Questions

School/Community Connections	Governance/Organizational Systems	Teaching/Learning Situations	Student Learning
1. How are the six role groups involved in SCBM?	1. Does SCBM address social and health issues that affect student learning? If so, how?	1. How effective were the choices made?	1. Does SCBM facilitate increased student achievement?
2. To what extent have groups been empowered?	2. In what ways and to what extent has SCBM streamlined operations of the school?	2. In what ways and to what extent did SCBM serve as a vehicle for implementing the school improvement plan?	2. How effective were the choices made?
	3. What evidence or lack of evidence indicates the cost-effectiveness of SCBM?		
	4. What would be the impact on SCBM if special needs funding were discontinued?		
	5. To what extent have SCBM decisions and following activities reflected desired goals and objectives?		
Years 1, 2, 3, 4	Years 1, 2, 3, 4	Years 2, 3, 4	Years 2, 3, 4

Data Collection

Data were collected through group interviews, a Team Effectiveness Inventory, Department of Education documents, and observations. Once the schools approved the evaluation designs, interview questions were developed to address the areas of evaluative importance to each school. Key people were identified to participate in role group interviews, and the team conducted the interviews. Interviews were held with each of the six role groups at each school. At least two members of the Evaluation Team were present at each interview to increase the consistency of interpretation. Figure 1 shows the number of people interviewed by role group for each school.

Table 1
Number of People Interviewed at Each School

Role Group	Ma'ili Elementary	Wai'alae Elementary
Students	6	2
Teachers	6	23
Parents	7	19
Administrators	2	3
Classified Staff	4	1
Community Members	3	4
Total	28	52

The Team Effectiveness Inventory was administered to all members in attendance at an SCBM Council meeting at each school. This inventory was adapted from "The Team Effectiveness Critique" by Mark Alexander in The 1985 Annual: Developing Human Resources edited by L. D. Goodstein and J. W. Pfeiffer (San Diego, CA: University Associates). This inventory provided additional information about the stakeholders' perceptions of the process of implementing SCBM.

Finally, in addition to reviewing pertinent documents, the Evaluation Team attended and observed several SCBM Council meetings to see the councils in operation.

Analysis

After all the data were collected, the Evaluation Team held a series of meetings to analyze the findings and draw conclusions. Due to the individual character of each school, the evaluation does not compare the schools to each other. Each school has its own vision, expectations, community relationships, demographics, staff dynamics, and student population. This evaluation provides a profile of SCBM implementation at each school through the following case study descriptions.

Evaluation of Implementation of
School/Community-Based Management

Wai'alae Elementary School Case Study

August, 1992

WAI'ALAE ELEMENTARY SCHOOL
CASE STUDY

Demographics

Wai'alae Elementary School is located in an upper middle class neighborhood of the Honolulu District. Some 75% of the people 20 years and older have graduated from high school, and 20.8% of the people in that same age range have graduated from a four-year college. Only 1.8% of these same people are unemployed. The average family size is 3.5 and the median income is $32,446 per year, and 15.9% of the children come from single parent homes. (1980 U.S. Census Data for 1980 Department of Education School Attendance Area)

The following information is for the 1990-91 school year:

There are about 450 students enrolled at Wai'alae Elementary School. The student population is distributed among the following ethnic groups:

• Japanese	51.6%
• Part-Hawaiian	11.4%
• Others	9.4%
• Chinese	9.2%
• Caucasian	8.0%
• Filipino	2.5%
• Korean	2.0%
• Portuguese	2.0%
• Hawaiian	1.8%
• Spanish/Puerto Rican	1.3%
• Black	.4%
• Indo-Chinese	.4%

More than 90% of the 6th grade students scored in the average or above average range in math and reading on standardized tests. The average daily absence for the total enrollment was 5.4%. Wai'alae had 94 District Exceptions for students who wanted to transfer into the school and 29 that wanted to transfer out. They had zero retentions.

Some 72% of the teachers range in age from 36 to 55. Among Wai'alae staff, 41.7% of the teachers have more than twenty years of experience, 37.5% have between six and twenty years of experience, and 20.8% have between one and five years of experience. None of the teachers has less than one year of experience. Similar to the student body makeup, 54.2% of the teachers are Japanese. The next largest ethnic representations are Chinese and Caucasian with 16.7% for each group.

Getting Started

The following information, obtained during the interview phase of the data collection, provides an overview of the chronology of events that occurred in introducing SCBM to Wai'alae Elementary School. The "Key Points for Getting Started," at the end of this section, summarizes the data.

Mr. Mel Furukawa, then principal at Wai'alae Elementary School, introduced SCBM to the school in 1989. However, a period of "fertilization" had occurred prior to the introduction of the SCBM concept. This readiness period was not strategically planned by Mr. Furukawa, but he recognized opportunities that allowed for this "fertilization" to occur. His natural style as a facilitative leader prepared the school community for the introduction of SCBM. In his words facilitative leadership requires:

- "open communication,
- a willingness to accept,
- flexibility,
- trust,
- consistency between what you say and do,
- honesty."

This leadership style engendered a school/community climate that was open to the concept of SCBM. The climate was one of established trust and comfort. There was a strong parent organization, Friends of Wai'alae School (FWS), in place when SCBM was introduced. The principal and FWS were already highly collaborative. While the teachers were somewhat hesitant, the principal felt SCBM would greatly benefit the school and he continued to move the effort forward. Eventually, when the principal polled the teachers on secret ballots, 24 out of 25 were in favor of SCBM although there was some insecurity. Former members of FWS feel that the relationship between the teachers and the parent organization solidified when FWS offered to raise funds for the school. The teachers credit the parents with initiating the SCBM Council.

When Principal Mel Furukawa left Wai'alae Elementary in January 1990 to assume a position with the Honolulu District Office, the Letter of Intent was in the process of being submitted. Although there was an interim administrator, Mrs. Annette Chun-Ming was Mr. Furukawa's permanent replacement. Her leadership style is also very facilitative. A community member used the characteristics of "patience and grace" to describe Mrs. Chun-Ming when she arrived at Wai'alae. She was viewed as extremely supportive of her teaching staff. Teachers identified the "attitude of the leadership" as one of the key factors that contributed to a climate of collaboration. The principal was seen as a "strong individual with vision, who had courage and a sense of purpose." Teachers viewed the principal as someone who had the collaborative spirit yet was strong enough to "buck the system." Teachers felt and continue to feel a true sense of professionalism. Mrs. Chun-Ming was the one who nurtured the teaching staff during the process of SCBM implementation. The Proposal to Implement was submitted on April 4, 1990.

Key Points for Getting Started

The Wai'alae experience clearly indicates the following "readiness" characteristics:

1. The principal is instrumental in initiating School/Community-Based Management.
2. The leadership style of the principal needs to be facilitative.
3. A collaborative, trusting climate that is conducive to open communication has to be established to successfully introduce the concept of SCBM.
4. The parents and teachers are two key role groups, and they must "buy" into the concept of SCBM.

SCBM Implementation: Evaluation Questions and Results

The following figure, previously shown in the Procedures Section, is the evaluation design for Wai'alae Elementary. This design was the result of a series of meetings with the SCBM Council to identify its SCBM areas of focus, related evaluation goals, and critical evaluation questions. The Evaluation Team then organized the school's input into the following design.

School/Community-Based Management
Formative Evaluation Design
Wai'alae Elementary
1991 - 1992

SCBM Focus:	Students who are creative problem solvers, self-confident, risk takers, well-rounded individuals, lifelong learners

Strategies:	Professional Development Parent Involvement Classroom Teaching/Learning

Evaluation Questions

School/Community Connections	Governance/Organizational Systems	Teaching/Learning Situations	Student Learning
1. Is the current restructuring/SCBM effort effectively enhancing school/parent/community collaboration? 2. Is the state/district DOE supporting Wai'alae's reform efforts? 3. Is there a relationship between the restructuring effort and the PCNC, A+, FWS, home, and special education?	1. Does the restructuring/SCBM effort ensure continuity when staff changes? 2. Are the funding and support services promoting the success of restructuring? 3. Is the restructuring/SCBM effort making optimal use of the facilities?	1. Is the proposed social studies/science curriculum, as it relates to the vision, effective? 2. Is the multi-dimensional student evaluation system, as it relates to the vision, effective? 3. Is having specialists in a specific curriculum area effective? 4. Is the articulation and professional dialogue affecting: -teacher morale, -teacher involvement, -teacher relationships with students, -teacher relationships with other teachers?	1. Is the proposed instructional delivery enhancing student outcomes? 2. Are the existing evaluation and testing tools appropriate for the "restructured" setting? 3. How long after the initiation of restructuring are there positive student outcomes? 4. Does collaboration contribute to positive student outcomes? 5. Is the articulation and professional dialogue affecting student outcomes?
Years 1, 2, 3, 4	Years 1, 2, 3, 4	Years 2, 3, 4	Years 2, 3, 4

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School/Community Connections

The first major category of evaluation questions is School/Community Connections. Parents have long been involved at Wai'alae Elementary School through their organization, Friends of Wai'alae School (FWS). FWS is a separate body of parents from the SCBM Council and is viewed as a fund-raising group. This parent group made a concerted effort through a massive mailing to invite various businesses in the community to participate in SCBM. The community responded to that method of appeal and, as a result, several business people attended meetings. However, their involvement has not been consistent. The business/community members who are consistently involved are all parents of former Wai'alae students who remain strongly committed to the SCBM effort. The following section addresses the three evaluation questions generated by the SCBM Council within this area of School/Community Connections.

1. Is the current restructuring/SCBM effort effectively enhancing school/parent/community collaboration? In response to this evaluation question, the different role groups had varying perceptions of the characteristics of collaboration.

Table 2
Characteristics of Collaboration

Parents/Community	School Staff
• Shared decision-making • Good facilitation at the meetings • Comfort level • Being heard • Individual contact • Ongoing conversation/communication • Clarification on limits of parental input • Respect • Trust • Professionalism • Honoring others' expertise • Equality	• No hierarchy of leadership • No bylaws, rules, and regulations • Teachers and parents sharing a vision/working together • Teachers listening to one another • Open communication • People feel valued, heard, respected • Consensus/making decisions

The characteristics of respect, trust, ongoing open communication, working together, and shared decision-making were congruent between all the role groups. A difference occurred in the need for bylaws. This difference signaled the need for a different type of collaboration: conflict resolution. The details of this issue will be covered under the section on governance/organizational systems.

The various role groups also identified the following eight **barriers to collaboration.**

The role groups that identified the specific barrier are indicated in parentheses.

- The perception of an "in" group "running the show." (parents)
- Lack of information/communication. (parents, classified staff, teachers, administrators, community members)
- Results orientation without procedures or a plan. (parents)
- Lack of trust. (parents, administrators, teachers, community members)
- Unilateral decisions made by independent role groups. (teachers)
- Not enough time during the day. (teachers)
- Talk but no action. (teachers)
- New people who do not understand the concept of SCBM. (parents, administrators, teachers, community members, students)

The administrators, teachers, parents, and community members were the most active role groups at Wai'alae Elementary School. A classified staff member was initially curious and attended meetings, but since has withdrawn and no longer participates. She felt that her input was not being heard. A few parents have stopped participating for the same reason. Feedback from the parent interviews indicates that some parents do not participate in SCBM for three reasons: 1) frustration because they feel disregarded, 2) lack of information, and 3) lack of interest or time.

Students who participated attended the evening SCBM Council meetings with their parents. There was not a lot of participation from students although the ones who attended meetings really liked them. The two students who were interviewed fully understood the concept of SCBM. One student was in the fourth grade and the other was in the sixth. However, students are not being integrated into the SCBM Council and the students' role is not defined. Students who did participate were self-initiating.

A Team Effectiveness Inventory was administered to the SCBM Council. Members were asked to assess ten different areas on a scale from one to seven, seven being "highly effective" and one being "highly ineffective." The ten areas were 1) goals and objectives, 2) utilization of resources, 3) trust and conflict, 4) leadership, 5) control and procedures, 6) interpersonal communications, 7) problem solving/decision making, 8) experimentation/creativity, 9) evaluation, and 10) roles and responsibilities. Sixteen council members filled out the inventory, and the following two tables show the results.

Table 3
Results of the Team Effectiveness Inventory

		Highly Ineffective <——> Highly Effective							
Assessment Areas	Didn't Answer	1	2	3	4	5	6	7	Mean
1. Goals and objectives				2	1	5	6	2	5.3
2. Utilization of resources	1			3	5	3	3	1	4.6
3. Trust and conflict				1	2	6	5	2	5.3
4. Leadership				2	2	4	5	3	5.3
5. Control and procedures				2	6	1	4	3	5.0
6. Interpersonal communications				1		4	5	6	5.9
7. Problem solving/ decision making			2	1		4	6	2	4.8
8. Experimentation/ creativity			1	2			7	6	5.8
9. Evaluation			1	2		6	5	2	5.1
10. Roles and responsibilities	1		1	1		8	3		4.7

Table 4
Rank Order of Effectiveness

Assessment Area	Mean
• Interpersonal communications	5.9
• Experimentation/creativity	5.8
• Goals and objectives	5.3
• Trust and conflict	5.3
• Leadership	5.3
• Evaluation	5.1
• Control and procedures	5.0
• Problem solving/decision making	4.8
• Roles and responsibilities	4.7
• Utilization of resources	4.6

Although the Council gave a high ranking to experimentation/creativity, there was clearly disagreement by three members. Interpersonal communications was the other area that received a high ranking while the lowest ranked areas on the inventory were control and procedures, and utilization of resources.

The roles and responsibilities shifted dramatically with the implementation of SCBM. Since SCBM promotes shared responsibility and decision-making, empowerment begins when the SCBM Council takes on the leadership role for the school. The roles most affected by this shift are the administrators and parents. While the principal releases authority to the SCBM Council, parents are given the opportunity to assume an active role as decision makers. The roles and responsibilities actually become equal. This caused confusion because the shift is not completely understood by all the members of the SCBM Council. Roles and responsibilities was ranked as one of the two lowest areas on the inventory. That result, however, is a positive indication of the shift of roles and responsibilities that is taking place.

The lowest ranked area on the inventory was utilization of resources. The results of all the other areas on the inventory clustered in the mid-range. The Team Effectiveness Inventory results indicate that the SCBM Council at Wai'alae Elementary exercises the flexibility to be experimental and creative in programming and operating the school. The Council members also feel that they communicate well as they go through the process of making decisions. This is not to say that they agree with everything that is discussed, but rather that SCBM provides a forum to have dialogue over important issues and decisions. Roles and responsibilities are now in the process of being defined. The various role groups have begun to assume more responsibility and the principal has released control. This shift has caused an ambiguity in the definition of specific roles and responsibilities. The SCBM Council also feels it should have authority over the utilization of resources, specifically facilities. They would like to have control over the use of the building and grounds.

2. Is the state/district DOE supporting Wai'alae's reform efforts? The second School/Community Connection evaluation question is related to system support for Wai'alae's restructuring effort. The general consensus by all the role groups was that the State Department of Education's SCBM Office was very supportive, especially its director, Art Kaneshiro. Other state office support was viewed as "only verbal." The District Office was viewed as providing very little support and, on two occasions, even perceived as working against Wai'alae's efforts. On one occasion, money that was promised for a science position was not released when the school obtained grant money. The other occasion was the method of placing an interim principal at the school when Mrs. Chun-Ming went out on leave. The SCBM Council was not consulted about who should be placed at the school, and the Council felt powerless in this situation. On one level the school was being encouraged to become empowered and fully implement SCBM, and at another level they were not provided the opportunity to give input into a very significant decision about who should lead the school.

3. Is there a relationship between the restructuring effort and the PCNC, A+, FWS, home, and special education? The results of the third evaluation question on School/Community Connections indicate that the Parent Community Networking Center (PCNC) was viewed as the interface between the parents and the community. Friends of

Wai'alae School (FWS) was a fundraising group. The SCBM Council is a policy-making group and should integrate all the other factions. (Some of the A+ staff are on the regular school staff; therefore, their involvement overlaps with SCBM as regular staff members.) The intent is to have all groups working together toward the same vision. SCBM is viewed as the vehicle that can facilitate that integration. Full integration is still in the process of occurring.

Key Points for School/Community Connections

A summary of the results in this area includes:

1. Respect, trust, ongoing open communication, working together, and shared decision-making are essential for collaboration. These behaviors develop slowly during the initial phases of SCBM.
2. Roles and responsibilities may be ambiguous during the first year of implementation because the roles and responsibilities are shifting.
3. There is a danger that the SCBM Council can be viewed as an elitist group.
4. Support and changes at the district and state level need to occur in order for the schools to have local autonomy.
5. Full integration of the school's various efforts and programs is an important goal of SCBM.

Governance/Organizational Systems

The need for bylaws was the most important issue addressed within Governance/ Organizational Systems. In trying to operate within the pure concept of SCBM, Wai'alae did not have bylaws or a designated council. They used a town meeting format, and anyone who attended a meeting was part of the council for that meeting. This open method of operating was effective for the first two years but this year, with new parents coming on board, the lack of structure was too ambiguous. There were varying perceptions on whether or not there was a need for bylaws.

The majority of the stakeholders participating in the SCBM process didn't feel a need for bylaws because the concept of SCBM promotes collaboration, consensus, shared responsibility, and trust. It was felt that all matters could be dealt with openly in the best interest of the students. Bylaws, rules, and regulations indicated a lack of trust. The Council had been functioning without bylaws since the beginning and most felt it was still effective.

The conflict arose when several parents suggested that it was absolutely essential to install bylaws. One set of parents was new to the school because their child had just entered kindergarten. They were not a part of the original SCBM Council. They came to one orientation meeting during the fall and then didn't attend a meeting again until January. Their understanding of SCBM was not the same as the majority of the SCBM Council. Another group of parents had a top-down management orientation and were initially opposed to the implementation of SCBM. However, SCBM is law and Wai'alae felt ready to adopt

it. These parents then felt that SCBM should only deal with exceptions and waivers, and not with school operations. They also felt strongly about establishing and following bylaws. Drafted bylaws were presented to the SCBM Council by this contingent and were met with opposition.

As a result of this situation the SCBM Council decided it was necessary to write bylaws. The SCBM Council got together over the summer for a series of meetings, facilitated by Art Kaneshiro from the State SCBM Office, to write a set of bylaws.

The results of the three evaluation questions within the Governance/Organizational Systems section of the evaluation design are as follows:

1. Does the restructuring/SCBM effort ensure continuity when staff changes? Since the introduction of School/Community-Based Management at Wai'alae Elementary School, there have been four principals. Mr. Mel Furukawa introduced SCBM to the school. He had been at Wai'alae for twenty-two years. Ms. Gail Cimdins served as an interim principal. She was only at Wai'alae for two months, but she helped with the Letter of Intent. Mrs. Annette Chun-Ming was assigned to the school as the permanent replacement. She worked with the school and facilitated the submission of the Proposal to Implement. However, for personal reasons, Mrs. Chun-Ming had to take a leave of absence in August 1991. Mrs. Velma Omura was then assigned to Wai'alae Elementary to take Mrs. Chun-Ming's place.

Although having four principals in eighteen months is not a desirable situation, it appears to have had no significant impact on the restructuring effort. The school is continuing to operate in pursuit of its programmatic changes and vision. This is not to say there haven't been problems, but the SCBM Council is empowered enough to maintain continuity with school operations regardless of who is in the principal's position.

Teachers are also actively trying to ensure that all faculty members support the restructuring effort. Some teachers have been informed by other teachers that if they are not willing to make changes, perhaps Wai'alae Elementary School is not the place for them.

The empowerment of the school community has instilled a fierce loyalty to the concept of SCBM. In this first year of implementation, SCBM is ensuring continuity in the operation of the school.

2. Are the funding and support services promoting the success of restructuring? Because the fundamental success of restructuring is based on improved student performance, it is premature to answer this question. The general perception at Wai'alae is that funding and support are needed to successfully implement restructuring/SCBM. Wai'alae felt it was necessary to seek additional funding from the Legislature and also through a Chapter 2 grant from the State Department of Education. Both of these sources provided Wai'alae with the money that the school felt was required to pursue their restructuring effort. However, it is too early to tell whether or not the funding and support services are promoting improved student performance.

3. Is the restructuring/SCBM effort making optimal use of the facilities? In general, the answer to this question is "no." The teachers say that as result of the restructuring effort there has been a reallocation of spaces and classrooms but this cannot be defined as optimal

use of the facilities. The community members feel that the school has always been open to the community, but that the District Office controls the use of the buildings. The community members feel that the SCBM Council should decide on the use of the facilities.

Key Points for Governance/Organizational Systems

1. Bylaws provide concrete structure to facilitate the understanding of SCBM. "Operational guidelines" may be a less offensive title for bylaws as the term "bylaws" connotes rules and regulations which goes against the philosophy of SCBM.
2. Concrete "operational guidelines" allow for a trustful environment among new participants.
3. Orientation and clear communication is required for "new" members of the school community.
4. The empowerment of a school community instills a fierce loyalty to SCBM. This loyalty ensures the continuity of school operations.
5. Monetary resources are essential for the implementation of SCBM.
6. Control over the use of facilities is another area of authority that can extend the school's autonomy.

Recommendations

The following recommendations are based on the data collection and analysis for Wai'alae Elementary School. The findings indicate that SCBM is in full implementation and moving the school community toward its goals and vision; however, these recommendations may be helpful to the process.

Establish "operational guidelines."

Concrete guidelines may help new members of the SCBM Council understand how SCBM operates. The guidelines may also provide a structure that promotes trust and facilitates an understanding of roles and responsibilities. Since Wai'alae uses a town meeting format for its meetings, the membership is not fixed but fluid. Established "operational guidelines" would help new members participate in the meetings without raising procedural questions that are clear to more experienced participants. Guidelines would enable the Council to deal with current issues rather than cause the Council to "back up" and reorient the new members. With a designated membership, perhaps the Council could function without specific guidelines and function on the premise of trust; with a town meeting format, however, operation of the Council would be smoother with guidelines. (It should be noted that the Council recognized this problem and spent the summer of 1992 compiling a set of "operational guidelines.")

Develop an orientation program for new members.

A formal orientation program with written information and procedures should be developed to assist new members when they begin participating in SCBM. This program should be implemented at the beginning of the school year for new parents at Wai'alae and also for new people who attend the SCBM Council meetings. The orientation should be scheduled for new Council members outside of the regular Council meetings.

Develop effective communication mechanisms to keep the school community informed.

Perceptions of mistrust occurred when various role groups felt that they were not being informed of the different issues and efforts. A systematic way to effectively communicate to all interested people needs to be developed and implemented. Keeping all interested parties informed prevents the perception of the SCBM Council as an "elitist" group.

Find ways to integrate the participation of all role groups.

Teachers, administrators, and a strong contingent of parents are very involved in the SCBM process. The community members who participate are parents of former students and are also actively involved. However, the classified staff are no longer participating and there is no provision for student involvement. Involvement for the classified staff may occur if an effective communication system is implemented. However, specific provisions must be designed for student involvement. For example, the student council advisor could facilitate the involvement of the students.

Evaluation of Implementation of
School/Community-Based Management

Ma'ili Elementary School Case Study

August, 1992

MA'ILI ELEMENTARY SCHOOL
CASE STUDY

Demographics

Ma'ili Elementary School is located on the west side of Oahu in the Leeward District. It was identified as a "special needs" school and received additional funding from the Hawaii State Legislature in 1989. Ma'ili received a total of $362,000 from 1989 to 1991. Factors used to identify a special needs school included:

-severity and persistence of needs (including high percentages of at-risk students, chronic low achievers, and student absenteeism; high rates of student retention in grade and drop-outs; high teacher turnover and large percentages of probationary teachers; high rates of social problems in the community);

-characteristics of school complexes (large number of schools with special needs characteristics, potential for cooperation among schools, existence of common problems among schools);

-current resources and efforts at the schools.

(Source: The Next Steps: Hard Decisions, Working Together for Educational Excellence by Paul Berman and Patricia Stone, March 1991.)

While 59.9% of the people twenty years old and older have graduated from high school, only 5.3% of the people in that same age range have graduated from a four-year college. In the same age range, 5.7% of the people are unemployed. The average family size is 4.3 and median income is $14,434 per year; 26.7% of the children come from single parent homes. (1980 U.S. Census Data for the 1980 Department of Education School Attendance Area)

The following information is for the 1990-91 school year:

There were 875 students enrolled at Ma'ili Elementary School. The percentage by ethnic group of the student population is as follows:

• Part-Hawaiian	37.0%
• Filipino	15.9%
• Other	15.6%
• Hawaiian	8.8%
• Samoan	7.2%
• Caucasian	4.9%
• Spanish/Puerto Rican	4.5%
• Portuguese	3.7%
• Black	.8%
• Japanese	.8%
• Chinese	.3%
• Indo-Chinese	.3%
• Korean	.2%

Standardized test scores indicate that more than 50% of the 6th grade students scored

below average in reading and 40% scored below average in math. The average daily absence for the total enrollment was 8.8%. Ma'ili had 46 District Exceptions for students who wanted to transfer into the school and 66 who wanted to transfer out. They had three retentions schoolwide.

Among Ma'ili's staff, 55.2% of the teachers were under the age of 36 and 29.3% were between the ages of 36 and 45; 53.4% of the teachers had one to five years of experience, and 8.6% of the teachers have less than one year of experience. In terms of ethnicity, 46.6% of the teachers are Japanese, 22.4% are Caucasian, and 10.3% are Filipino. Other ethnic groups that are represented account for less than 10% each.

Getting Started

The following information was obtained during the interview phase of the data collection and provides an overview of the chronology of events that occurred in initiating SCBM at Ma'ili Elementary School. The "Key Points for Getting Started" at the end of this section summarizes the data.

In September 1989, when the Hawaii State Legislature allocated "special needs" funding to ten schools on the Leeward Coast including Ma'ili Elementary, the schools were required to convene planning groups consisting of six different role groups. The role groups were students, teachers, classified staff, administrators, parents, and community members. Members from each role group volunteered to participate. The principal, Curtis Young, felt that appointing the groups did not promote trust. The planning groups at Ma'ili Elementary spent one year conducting a needs assessment and reviewing research-based solutions. The planning groups met between 10 and 12 times. Curtis Young felt that through this process these groups learned that they could collaborate together and, as a result, trust was developed. The planning groups had collegial relationships. Consensus was used for decision making and it promoted "bonding."

Principal Curtis Young, Vice-Principal Linda M. Victor, and Curriculum Coordinator Nancy Tamanaha compiled the information from all the planning groups. The following areas became the focus for the special needs effort:

- Increased student achievement in reading and math
- Increased self-esteem
- Increased community involvement
- Teacher retention

All six role groups felt that the special needs effort was responsible for "setting the stage" for the introduction of SCBM. Special needs allowed for the initiation of collaboration and planning and SCBM allowed the flexibility for implementation.

Curtis Young was viewed by the other role groups as the key facilitator in initiating SCBM since he was responsible for organizing the special needs effort. He spent a lot of time communicating the connections between the special needs effort and SCBM. Mr. Young was viewed as very facilitative in his leadership style. He allowed for "bottom up" planning and decision making. Mr. Young used a strategy that was both time efficient and very much appreciated by the other role groups--he never met with any group with a "blank

slate." In other words, he always came to meetings with a list of suggestions that the groups could react to rather than generating ideas from scratch. This facilitated discussions and decisions in an efficient manner. It was noted that Mr. Young never indicated that his "gut" was tied to his list of suggestions. His intent was merely to facilitate discussion and decision making. Mr. Young was viewed as "service oriented."

The special needs effort began in September 1989. Once Ma'ili Elementary went through the process that was required by the special needs effort with Mr. Young communicating the connections between special needs and SCBM, special needs and SCBM were viewed as synonymous. The Letter of Intent was submitted on March 16, 1990. The Proposal to Implement was submitted on May 21, 1990.

Key Points for Getting Started

The Ma'ili experience clearly indicates the following readiness characteristics:

1. The principal is instrumental in initiating School/Community-Based Management.
2. The leadership style of the principal needs to be facilitative.
3. A collaborative, trusting climate must be established to successfully introduce the concept of SCBM.
4. Communication must occur with all role groups from the very beginning of the SCBM introduction.

SCBM Implementation: Evaluation Questions and Results

The following figure is the evaluation design for Ma'ili Elementary School. This design was the result of a series of meetings with the SCBM Council to identify its SCBM areas of focus, the related evaluation goals, and the critical evaluation questions. The Evaluation Team then organized the school's input into the following design.

School/Community-Based Management
Formative Evaluation Design
Ma'ili Elementary
1991-1992

SCBM Focus:

1. Student Learning
   - Academic achievement
   - Self-esteem
2. School/Community Relationship
3. Values
   - Responsibility
   - Pride
   - Happiness
   - Open Communication

Evaluation Questions

School/Community Connections	Governance/Organizational Systems	Teaching/Learning Situations	Student Learning
1. How are the six role groups involved in SCBM?	1. Does SCBM address social and health issues that affect student learning? If so, how?	1. How effective were the choices made?	1. Does SCBM facilitate increased student achievement?
2. To what extent have groups been empowered?	2. In what ways and to what extent has SCBM streamlined operations of the school?	2. In what ways and to what extent did SCBM serve as a vehicle for implementing the school improvement plan?	2. How effective were the choices made?
	3. What evidence or lack of evidence indicates the cost-effectiveness of SCBM?		
	4. What would be the impact on SCBM if special needs funding were discontinued?		
	5. To what extent have SCBM decisions and following activities reflected desired goals and objectives?		
Years 1, 2, 3, 4	Years 1, 2, 3, 4	Years 2, 3, 4	Years 2, 3, 4

School/Community Connections

The first major area of the evaluation design presented earlier is School/Community Connections. The special needs process that required the participation of the six different role groups ensured the establishment of school/community connections. This is the same process that is required to implement SCBM. Since the process was already in place for special needs, SCBM was a natural transition for Ma'ili Elementary School to facilitate the achievement of its school improvement goals.

School/Community Connections was a high priority for Ma'ili because one of the SCBM focus areas that was identified by the Council was School/Community Relationship. Ma'ili's vision is to become a Community Center that provides service to the entire community. Community member Joe Lapilio has drafted a plan entitled Ma'ili 2000 to move the school toward that vision. Ma'ili was successful, during their first year of implementing SCBM, in establishing some significant school/community relationships.

One of these relationships was with the Lusk Development. This company is currently constructing a new housing development within the jurisdiction of Ma'ili Elementary School. School age students up to the sixth grade from this new housing development are eligible to attend Ma'ili. Principal Curtis Young viewed this situation as an opportunity and began supporting the Lusk Development at community meetings. As a result Mr. Pat Lee from the Lusk Development participates with the SCBM Council and has offered services to implement a campus beautification plan. Plans include landscaping and installation of a courtyard.

In another situation, unexpected partnerships resulted from a new scheduling format. One of the conditions that Ma'ili felt was essential for facilitating the achievement of its goals was to retain its teachers. The strategy that they created to address this issue was to have a Modified 5-Day School Schedule. This was to provide an incentive for teachers by allowing for an extra day that could be used for planning or staff development. Ma'ili applied for a waiver and exceptions through the SCBM process to operate on a four-day school week and use the fifth day for optional enrichment classes for the students, parents, and community. (The Evaluation Section of the Planning and Evaluation Branch of the State Department of Education is evaluating the Modified 5-Day School Schedule. It will not be addressed in this evaluation because it was considered outside the two areas being evaluated: School/Community Connections and Governance/Organizational Systems.)

Community agencies began calling Ma'ili Elementary to ask if they could provide classes during the Friday enrichment schedule. The YMCA provided drama classes for the students and a staff member from a museum in Nana'ikapono conducted a music class. The Girl Scouts implemented their program and the Catholic Charities provided a program for families called Strengthening Hawaii's Families. Through such activities, Ma'ili is beginning to establish itself as a "community school."

The following section addresses the two evaluation questions generated by the SCBM Council within this area of School/Community Connections.

1. How are the six role groups involved in SCBM? The six role groups are highly active in Ma'ili's SCBM process. The designated involvement as specified in the bylaws will

be covered in the Governance/Organizational Systems section; this section will address the communication systems that facilitated the high participation of all the role groups.

The establishment of good communication systems ensured involvement of all the role groups. In the beginning, notes from the SCBM Council were passed to the grade level chairpersons who in turn were supposed to share the information with their grade level teachers. That didn't work, so now SCBM Council members share information directly at faculty meetings.

Initial public opinion viewed the Modified 5-Day School Schedule as teachers wanting to work less. The parents got together and launched a door-to-door communication campaign to educate the community about the four-day school week and why the SCBM Council thought it was important. This was done after written bulletins were found to be ineffective.

Student involvement was facilitated through a student advisor. Student Council officers represent the students and report their issues when they attend the SCBM Council meetings. They report back to the Student Council and keep the students informed. One example of student involvement was when the SCBM Council was addressing the need to install air conditioning. The students were given the responsibility of creating and implementing a needs assessment. The students placed paper plates in certain classrooms around the campus to remain untouched for a specified time. At the end of that time, the paper plates were encased in plastic bags. The plates were then presented to the SCBM Council for them to see the amount of dirt and dust that accumulated from the road and adjacent chicken farm. The dirt and dust came through the open windows of the classrooms. The students at Ma'ili feel very involved with the SCBM effort. One student representative felt so empowered that he defined SCBM as "Student Council Based Management."

The most effective communication mechanism, as mentioned by all the role groups, was sending out the SCBM Council meeting agendas far in advance of the meeting date. This allowed council members to poll their respective role groups on the specific issues listed on the agenda prior to the meeting. This method is effective in keeping all role groups informed.

The community members who sit on Ma'ili's SCBM Council are recognized as long-standing participants in community affairs. Their input and feedback is valued by the Council because of their long-term relationship with and knowledge of the community.

This school and its community are highly oriented toward relationships. Each role group has assumed ownership for the SCBM effort.

2. To what extent have groups been empowered? The second evaluation question in the area of School/Community Connections is related to the empowerment of each role group. Evidence of empowerment is indicated in the results of a Team Effectiveness Inventory that was administered to the SCBM Council. Council members were asked to assess ten different areas on a scale from one to seven, seven being "highly effective" and one being "highly ineffective." The ten areas were 1) goals and objectives, 2) utilization of resources, 3) trust and conflict, 4) leadership, 5) control and procedures, 6) interpersonal communications, 7) problem solving/decision making, 8) experimentation/creativity, 9) evaluation, and 10) roles and responsibilities. Twenty-three members filled out the inventory. The following tables show the results.

Table 5
Results of the Team Effectiveness Inventory

		Highly Ineffective <——> Highly Effective							
Assessment Areas	Didn't Answer	1	2	3	4	5	6	7	Mean
1. Goals and objectives					4	4	4	11	6.0
2. Utilization of resources	1			1	2	3	5	11	6.0
3. Trust and conflict						4	9	10	6.3
4. Leadership						6	7	10	6.2
5. Control and procedures					1	3	5	14	6.4
6. Interpersonal communications					1	4	5	13	6.3
7. Problem solving/ decision-making					1	5	7	10	6.1
8. Experimentation/ creativity						6	8	9	6.1
9. Evaluation	1		1		2	3	4	12	6.0
10. Roles and responsibilities	1				1	3	4	14	6.4

Table 6
Rank Order of Effectiveness

Assessment Area	Mean
• Control and procedures	6.4
• Roles and responsibilities	6.4
• Trust and conflict	6.3
• Interpersonal communications	6.3
• Leadership	6.2
• Problem solving/decision-making	6.1
• Experimentation/creativity	6.1
• Goals and Objectives	6.0
• Utilization of resources	6.0
• Evaluation	6.0

The SCBM Council ranked control and procedures, and roles and responsibilities, as the highest areas of effectiveness. The SCBM Council perceives itself to have control over the operation of the school. The council also perceives a shift in roles and responsibilities from the traditional top-down type of management to a more "grass roots" operation.

The lowest scores on the inventory were in the areas of goals and objectives, utilization of resources, and evaluation but it should be noted that all of the scores were skewed heavily to positive end of the scale. The differences between all ten areas were minor suggesting, overall, a highly positive impression of SCBM implementation.

Ma'ili's SCBM Council identified school/community relationships and the values of responsibility, pride, happiness, and open communication as two of the three areas of focus for SCBM. The scores from the inventory reflect the emphasis and support of the areas of focus for SCBM. This is an indication of teamwork in action. The SCBM Council perceives itself as empowered.

Key Points for School/Community Connections

A summary of the results in this area includes:

1. The "relationship orientation" of this school and its community promoted communication.
2. Communication mechanisms are required to involve all role groups.
3. Communication promotes collaboration, trust, and empowerment.
4. Establishing trust within the SCBM Council occurred early, enabling the Council to move forward in establishing school/community connections beyond the SCBM Council.

Governance/Organizational Systems

Ma'ili Elementary School's SCBM Council operates according to an adopted set of bylaws. The Council calls itself the Steering/SCBM Decision-Making Group (SSDG) of Ma'ili Elementary School.

Purpose. "The purpose of this organization is to provide an opportunity for shared decision-making and greater involvement of those directly affected by decisions; to provide for a democratic system of school management which allows for greater flexibility; to enhance the self-esteem of the school's constituency; to develop a sense of 'ohana among the different segments of the school and community; to provide for ongoing school improvement; and to conduct formative and summative evaluations of our school programs." (Article II of the bylaws of the Steering/SCBM Decision-Making Group of Ma'ili Elementary School.)

Membership of the SSDG. All six role groups are represented on the SSDG. The SSDG is limited to 24 members. The distribution of members from each role group is as follows:

- Students 4
- Parents 3
- Community 3
- Teachers 10
- Classified Staff 2
- Administration 2

Each role group has an equal voice in the decision making. In other words, larger numbers in a particular role group do not warrant more authority or weight in the decision making. During the first two weeks in September of each school year, each role group convenes a meeting of its respective constituencies to elect or select its designated number of representatives to the SSDG. Each representative serves for a period of one year (September to August), which is considered a term. Representatives can serve for more than one term. If a vacancy arises in any of the segments of the SSDG, the members of the SSDG appoint a new representative from the affected role group to serve the remainder of his/her predecessor's term.

Operation of the Meetings. A facilitator and co-facilitator chair all the meetings of the SSDG and ensure that all reports are properly and promptly prepared. At its regular meeting in September, the SSDG selects the facilitator and co-facilitator from among its members.

Meetings of the SSDG are held quarterly and as the need arises. Meetings of the SSDG are announced at least one week in advance and are open to the general public. Representatives report back to their respective constituencies quarterly and as the need arises. Before the start of each meeting, each role group designates a spokeperson for its group.

The presence of all six role groups constitutes a quorum. Each role group needs to have only one member present during the meetings of the SSDG before decisions may be made. All decisions are reached by consensus. Where consensus cannot be reached, the SSDG continues working for consensus. If consensus still cannot be reached after a reasonable period of time (as determined by the SSDG), the status quo remains. Decisions are made by the school's decision-making body in areas critical to school improvement efforts. However, decisions must be made within the parameters of state and federal laws, the Board of Education's constituted authority to govern the school system, and collective bargaining agreements. These decisions would most likely involve the areas of personnel, curriculum, instruction, budget, and facilities.

The results of the five evaluation questions within the Governance/Organizational Systems section of the evaluation design are as follows:

1. Does SCBM address social and health issues that affect student learning? If so, how? In the interviews with each of the role groups, feedback indicates that SCBM is addressing social and health issues that affect student learning. This supports the vision that

Ma'ili Elementary is becoming a community school that deals with the student holistically.

As stated previously in the School/Community Connections section, various community agencies are becoming involved with the school. SCBM provided the flexibility for this involvement. Some of the agencies address social and health issues. For example:

-The Catholic Charities conducted sessions for families during the enrichment classes on Fridays entitled "Strengthening Hawaii's Families."

-Students from the homeless shelter attended an after-school tutorial and five parents from the homeless shelter enrolled for classes to help them receive a high school diploma. "Sensitivity" sessions were conducted with grades 4, 5, and 6 to help them understand about homeless situations.

-The Waianae Mental Health Center administered a "wellness" program targeting at-risk students and families.

Prior to the implementation of SCBM, efforts to address the student holistically were a part of Ma'ili's school improvement plan. However, in the above cases, SCBM provided the mechanism for implementation.

Other comments indicated that the parent role group felt SCBM addressed all issues, and those issues were reflected in the school's goals. The community role group felt that social and health issues were addressed through classroom teaching and the classified staff said that an emphasis is being placed on getting more community agencies to be part of the school.

Although there is much more to be accomplished in this area, SCBM is currently addressing social and health issues. How this, in turn, affects student learning will need to be addressed in the fourth year external evaluation.

2. In what ways and to what extent has SCBM streamlined operations of the school? The feedback in response to this question was varied. Two role groups, the teachers and the community, felt that SCBM was providing the flexibility for the school to do what it wanted but without the "red tape." However, the administration felt "streamlining" did not occur and, in fact, more time and effort was required; but everyone felt better and people were "working smarter." The parent role group felt that SCBM had gotten the school focused on the goals and not personalities. The other role groups did not identify any changes that streamlined operations of the school. In summary, SCBM does not necessarily streamline operations during the first year of implementation. At Ma'ili, it provided a focus and flexibility. People feel like they are a part of the school but SCBM required more time and work at the beginning.

3. What evidence or lack of evidence indicates the cost-effectiveness of SCBM? Some role groups could not respond to this question and among those who did, there were varied responses. There was no concrete evidence to adequately address the question. While the parent role group felt that SCBM is cost-effective, they emphasized that attitudes of the school community and student learning cannot be given a price. Other role groups attached cost-effectiveness to results in student achievement. Student achievement is not being addressed in this evaluation so this issue will need to be reviewed in the fourth year external evaluation.

4. What would be the impact on SCBM if special needs funding were discontinued? All role groups except administration identified money as vitally important in the implementation of SCBM. The principal, Curtis Young, felt attitudes, beliefs, and values were more important than money. This question is currently moot because special needs funding was not discontinued.

5. To what extent have SCBM decisions and following activities reflected desired goals and objectives? Student learning, including academic achievement and self-esteem, plus fostering school/community relationships were goals that were articulated by all six role groups. The SCBM decisions and following activities fully reflect the desired goals and objectives. The table below shows activities that address the goals.

Table 7
Activities That Support SCBM Goals

Goals	Student Learning	School/Community Relationships
Activities	• A whole language/balanced curriculum • Heterogeneous grouping of students • Self-contained classrooms • Intervention/integration model for Chapter 1 students • Cooperative learning strategies • Mini-library in each classroom	Ma'ili Elementary developed relationships with: • Lusk Development • Girl Scouts • Homeless Shelter • Catholic Charities • Waianae Mental Health Center • Kamehameha Schools/Bishop Estate • Head Start

Key Points for Governance/Organizational Systems

1. Concrete operational guidelines are essential for the smooth operation of SCBM.
2. Involvement of community agencies and other organizations with the school helps to address student needs in a holistic manner.
3. SCBM may not streamline the operations of the school during the first year. Provision of flexibility cannot be interpreted as streamlining. For example, SCBM provided the flexibility to implement the Modified 5-Day School Schedule but it required a great amount of additional time to plan and execute this initiative.
4. Issues of how funding impacts SCBM in terms of program and cost effectiveness are not known in the present context.
5. SCBM focused all role groups on a shared vision and a set of goals.

Recommendations

The following recommendations are based on the data collection and analysis for Ma'ili Elementary School. The findings indicate that SCBM is in full implementation and moving the school community towards the achievement of its goals and vision. The SCBM Council has functioned well. This has enabled the council to implement actions directly related to school improvement and student achievement. However, there are three recommendations that might assist Ma'ili Elementary School to be more proactive in its efforts.

Revisit the vision to include the community.

Educational research continues to indicate the changing role of the school. The school of the twenty-first century will be an integral part of the community and be serving the community beyond meeting the educational needs of its students. The schools will be programmed to meet the needs of students in a holistic manner and the definition of "student" will include anyone who is interested throughout the entire community. Ma'ili is moving toward the community school concept and the driving vision should reflect that concept.

Develop a comprehensive overview of how to holistically meet the student needs.

There was an unexpected response from a wide variety of people and agencies to participate in some capacity with Ma'ili. With the high level of participation from a diverse pool of resources, each effort should be coordinated into the larger scheme of Ma'ili's vision. The development of a comprehensive overview would prevent fragmentation and efforts unrelated to the school's vision.

Request technical assistance to analyze the impact of funding on school programming.

The special needs funding provided Ma'ili a unique opportunity to plan and implement programs with hundreds of thousands of additional dollars. It is not clear how critical additional funds are in terms of implementing SCBM. An analysis of the impact of funding would provide information to facilitate identification of alternative ways to maintain the current reform efforts.

CONCLUSION AND PRODUCTS

School/Community-Based Management is being successfully implemented in two very demographically-different schools. Both schools found that successful SCBM implementation is not contingent on lack of conflict; rather, it is dependent on the process that is used to work through the issues and problems. A list of key success factors for the implementation of SCBM is one of the four outcomes of this project. These factors were present at both Wai'alae and Ma'ili elementary schools. There were certain conditions, characteristics of the principal, and guidelines that existed to contribute to the successful implementation of SCBM. The key success factors address only two categories that are related to implementation: School/Community Connections and Governance/Organizational Systems. It is premature to conclude whether or not the key success factors for implementation will impact the categories of Teaching/Learning Situations or Student Learning. These areas will be addressed in the fourth year external evaluation.

Key Success Factors for the Implementation of School/Community-Based Management

Getting Started

When a school is considering School/Community-Based Management, these are the key success factors that need to be recognized.

- The principal is instrumental in initiating School/Community-Based Management.
- The leadership style of the principal needs to be facilitative.
- A collaborative, trusting climate must be established in order to successfully introduce SCBM.
- Effective communication must occur with all role groups from the very beginning of the SCBM introduction.

Implementation

During the implementation of SCBM, the six role groups or stakeholders acknowledge the following as the key success factors in the areas of School/Community Connections and Governance/Organizational Systems.

- Shared vision
- Open communication
- Respect
- Trust
- Collaboration
- Empowerment
- Operational guidelines (bylaws)
- Continued support for change by the district and state offices

Funding. The issue of funding as a key success factor was difficult to analyze because both of these schools were in the unusual position of having money that was far beyond the regular $11,000 allotted by the Legislature for the implementation of SCBM. Wai'alae received additional money from the Legislature and also a Chapter 2 grant administered through the Department of Education. Ma'ili had special needs funding from the Legislature. It could be argued that the successful implementation of SCBM was due to the additional funding but that would be implying that schools who do not have money beyond the $11,000 would not have success with SCBM. There wasn't enough evidence to make that conclusion since this evaluation was limited to two schools with additional funding. The principal of Mai'ili did not feel money was a key success factor. He felt factors such as trust, commitment, and a shared vision were more crucial.

Differences Between the Schools. The similarities between the two schools in implementing SCBM lie in the key success factors and the additional funding. The differences, however, only reinforce that each school has a unique and individual personality. Wai'alae is heavily task oriented and logical about planning for the achievement of its vision. Ma'ili is relationship oriented and approaches its tasks from that point of view. One of the strongest findings of this study that supports SCBM is that it provides a flexible structure to respond to the unique personality of the community. Schools can be custom-made for the community they serve. Thus, there is a danger in providing extensive "how tos" for SCBM because so much of the implementation is dependent on the flexible structure that can be responsive to the stakeholders. What works in one school may not be appropriate for another. Each school must make decisions for itself.

Need for Systemic Change. To spend any time in either of these schools and observe or participate in their SCBM process is to experience educational restructuring beyond the rhetoric. The State Department of Education needs to continue to make systemic changes to support SCBM because these schools have left the traditional mode of operation and they will not be returning. Other schools are following close behind.

Evaluation Products. Three additional products of this evaluation project are designed to provide support for SCBM schools. The SCBM Readiness Questionnaire is an informal way for the principal to determine whether or not his/her school is ready for SCBM. Many schools are functioning as SCBM schools but don't realize it.

School/Community-Based Management
Readiness Questionnaire

Answers to the following questions provide a framework for the principal to assess variables that enhance the introduction and implementation of SCBM.

1. Do you communicate regularly with the members of the following role groups:

Students	_____
Teachers	_____
Parents	_____
Classified Staff	_____
Vice-Principal (if applicable)	_____
Community	_____

2. Do you seek input before you make decisions? If yes, from whom?

3. When you make a decision is it accepted without question?

4. Do members of any of the six role groups seek your advice? If so, which ones?

5. Do you delegate responsibility?

6. Do you have an active parent organization at your school?

7. Do your teachers communicate regularly with parents?

8. Do you support your teachers? If yes, how?

9. Do your teachers support you? If yes, how?

10. Do your teachers work together on specific projects or school improvement efforts?

11. Do you have an active student council?

12. Are your community members involved with your school? If yes, how so?

13. Does your school improvement plan drive the activity at your school?

14. Does your school have a vision?

15. Do you believe in the philosophy of SCBM?

If you can positively answer the majority of these questions you have most likely established the type of climate that is needed to introduce or implement SCBM. Questions that are answered negatively indicate areas where you may need to give more attention.

The internal monitoring system is a way for schools to put themselves in a mode of inquiry to monitor the progress of their improvement efforts. The data can be used for their fourth year external evaluation.

Internal Monitoring System

Purpose: To put the school community in a mode of inquiry to monitor the progress of its improvement efforts.

1. Start with the beliefs and then identify what goes in each "mirror" (see next page).

2. Review the beliefs and determine whether or not the efforts within each mirror reflect the beliefs.

3. Generate questions that will initiate reflection and interaction between the mirrors to address specific areas and issues.

4. Identify sources of information to facilitate answering the questions.

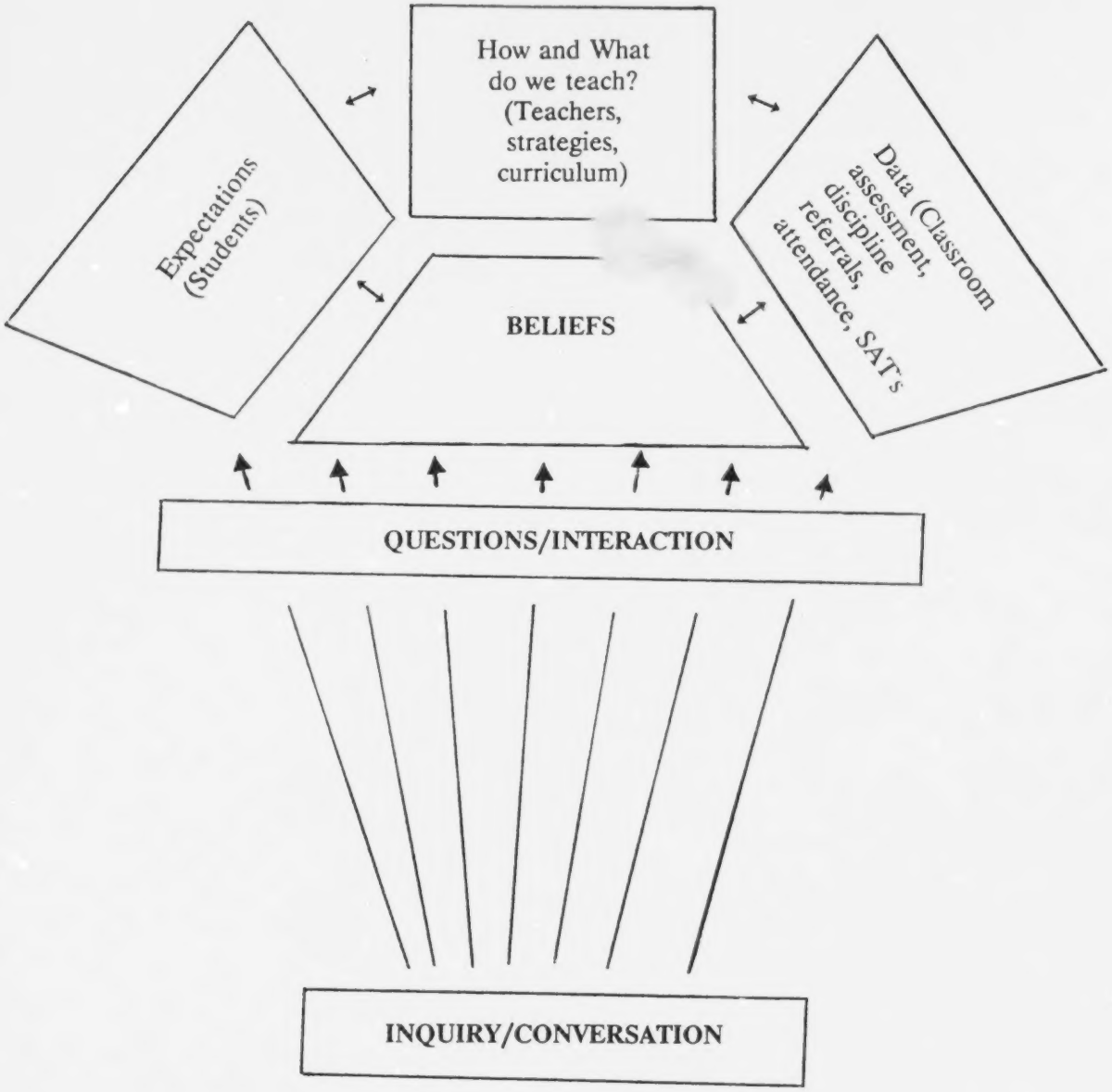
5. Assign specific people the responsibility of gathering of the information.

6. Present the information to the Council and, through dialogue, determine the benchmarks that indicate the progress or lack of progress toward aligning the operation of the school with the beliefs.

7. Make adjustments to enable the alignment.

INTERNAL MONITORING SYSTEM

Mirrors for Self-Reflection



PREL 4/92

Consultation Model for School/Community-Based Management Evaluation

This model illustrates the technical assistance required by a school to implement the evaluation process. The "consultant" needs to do the following:

1. Explain the evaluation process to the SCBM Council.

2. Facilitate discussion with the SCBM Council to identify:

    - SCBM areas of focus
    - Evaluation questions

3. If the school poses research questions, those must be converted to evaluation questions. Categorize the evaluation questions from the Council into four areas:

    - School/Community Connections
    - Governance/Organizational Systems
    - Teaching/Learning Situations
    - Student Learning

4. Meet with the Council to ensure accurate interpretation of the their input.

5. Develop interview protocols based on the evaluation questions.

6. Ask the Council to identify interviewees.

7. Schedule and conduct interviews.

8. Identify or design instrumentation.

9. Administer instruments.

10. Analyze data/draw conclusions.

11. Report findings back to the school.

Follow-up

Additional funding from the McInerny, Atherton, and Cooke Foundations will allow PREL to follow up this project with Wai'alae and Ma'ili. Follow-up will include training and technical assistance to implement the internal monitoring system. Data will be collected regarding the Teaching/Learning Situations and Student Learning. The evaluative process will also be implemented with two more schools. Training on this evaluative process will also be available to personnel from the Department of Education.

Appendix A

List of Interviewees from Wai'alae Elementary School

SCBM Implementation Evaluation
Wai'alae Elementary School
Interviewees

Students

Angela Thompson
Ryan Tanaka

Administrators

Mel Furukawa
Annette Chun-Ming
Velma Omura

Teachers

Annette Masutani
Fay Takamiyashiro
Joan Reuhart
Aileen Wong
Julia Watanabe
Shirland Yoshimura
Sharon Tung
Yvonne Wakata
Valerie Nishida
Wayne Sakai
Arlene Young
Su-Lyn Choy
Carole Takamoto-Hughes
Debbie Morikawa
Olga Takekawa
John Pearman
Lis Leong
Mary Mulligan
Lillian Masaki
Gloria Del Rosario
Teresa Lau
Annette Morishige
Aileen Yanagihara

Parents

Francis Okano
Jeffrey E. Damasiewicz
Karen Tsukiyama
Allan Okubo
Richard S. Kanek
Harvey Nakano
Kathy Fujita
Clarence K. Sato
Margaret Thompson
Theresa Ueda
Leeann Kamai
Mona Prochnow
Sarah Chinen
Mike McGeugan
Dennis Leong
Gail Awahuri
Gail Youn
Sandra Kam
Ann Seo

Classified

Barbara Perry

Community Members

John Brizdle
Robert Watada
Leroy Sato
Bruce Yanagihara

Appendix B

List of Interviewees from Ma'ili Elementary School

SCBM Implementation Evaluation
Ma'ili Elementary School
Interviewees

Students

Melissa Umali
Keala Hamasaki
Ryan Navarro
Kamana Ng
Robert Sylva
Andrea Quisquirin

Parents

Barbara Cambra
Judy Gouveia
Donna Segaran
Gail F. Gomban
Laveti Meade
Lydia Katsuda
Randall Barbors

Teachers

Randy Oda
Julie Herodias
Mary Chun
Karen Gold
Jodilynn Kropf
Kathy Hiller

Community Members

Mary D. Ojerio
Sol K. Naone
Joseph W. Lapilio III

Classified

Irene Maio
MacRoy Maio
Patricia Martin
Lillian Pauline

Administrators

Linda M. Victor
Curtis Young

Appendix C

Interview Protocols for Six Role Groups at Wai'alae Elementary School

WAI'ALAE ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group:_____

Date:_____

Evaluation Team Present:_____

---

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____

WAI'ALAE ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group: Students - Grade

Date: March 18, 1992

---

1. Do you know what the letters SCBM stand for? (If not, give handout and discuss.)

2. What do you know about SCBM at Wai'alae Elementary? (Purpose, the work being done, changes being made.)

3. What role do the students have in SCBM?

4. What role should the students have?

5. What decisions have you participated in making?

WAI'ALAE ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group:_____

Date:_____

Interviewer:_____

Observers:_____

School/Community Connections

1. SCBM purports to enhance collaboration. What does collaboration mean to you? Please give us examples.

2. How often do you engage in some level of contact or collaboration? (Weekly? Quarterly?)

3. Describe the nature of your involvement. (e.g., only attending meetings, taking responsibility for specific tasks)

4. In looking at a scale with the

passive participant ----------to----------▸ the active leader
being the least involved who's very involved

where would you fall? Give examples.

5. How effective has your level of collaboration been in implementing SCBM? Specifically, what has been accomplished and what remains to be done?

6. What factors contribute to collaboration?

7. What factors act as barriers to collaboration?

8. Was there any particular person or role that facilitated collaboration?

9. Describe the involvement of each role group.

10. Which role group contributed most to collaboration?

11. As a result of your participation in SCBM, to what extent have you grown in your understanding of the collaborative process?

Not at all----------Somewhat----------A lot

12. How has the state DOE supported your reform effort? (Which state offices? How have they supported/not supported?)

13. How has the district office supported or not supported your effort?

14. What effect does SCBM have on programs ancillary to the regular school program? (e.g., PCNC, A+, FWS)

15. What effect should SCBM have on programs ancillary to the regular program?

Governance/Organizational Systems

1. How was your SCBM Council organized? (Who took the lead in this process?)

2. Describe the organizational structure of your SCBM Council. (How is the Council organized?)

3. In what areas does the SCBM Council exert authority?

4. In what areas should the SCBM Council exert authority?

5. How are decisions made? How do you feel about the present process?

6. What changes have occurred?

7. What effect did the changes have?

8. How important is securing additional funding beyond the regular DOE budget to the success of implementing SCBM? Could you have done it without the money?

9. What kinds of support services do you feel are critical to the success of SCBM?

10. a) In what way has the use of facilities (buildings and grounds) changed since the implementation?

b) What changes should be made?

Additional Questions

1. Describe what "successful" SCBM looks like.

2. What are the important key factors required to facilitate the success of SCBM?

3. Is the focus of SCBM clear?

4. How do you feel about the process of identifying goals?

5. Is the current effort addressing the focus?

Other Comments

1. Are there any other comments?

Appendix D

Interview Protocols for Six Role Groups at Ma'ili Elementary School

MA'ILI ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group:_____

Date:_____

Evaluation Team Present:_____

---

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____
11. _____
12. _____
13. _____
14. _____
15. _____

MA'ILI ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group: Students - Grade _____

Date: _____

---

1. Do you know what the letters SCBM stand for? (If not, give handout and discuss).

2. What do you know about SCBM at Ma'ili Elementary? (Purpose, the work being done, changes being made.)

3. What role do the students have in SCBM?

4. What role should the students have?

5. What decisions have you participated in making?

MA'ILI ELEMENTARY SCHOOL
SCBM IMPLEMENTATION EVALUATION
FOCUS GROUP INTERVIEWS

Focus Group:_____

Date:_____

Interviewer:_____

Observers:_____

School/Community Connections

1. SCBM purports to enhance collaboration. What does collaboration mean to you? Please give us examples.

2. How often do you engage in some level of contact or collaboration? (Weekly? Quarterly?)

3. Describe the nature of your involvement. (e.g., only attending meetings, taking responsibility for specific tasks)

4. In looking at a scale with the

passive participant ----------to----------▸ the active leader
being the least involved who's very involved

where would you fall? Give examples.

5. Is the focus of SCBM clear?

6. How do you feel about the process of identifying goals?

7. What factors contribute to collaboration?

8. What factors act as barriers to collaboration?

9. Was there any particular person or role that facilitated collaboration?

10. Describe the involvement of each role group. Which role group contributed most to collaboration?

11. As a result of your participation in SCBM, to what extent have you grown in your understanding of the collaborative process?

Not at all----------Somewhat----------A lot

12. Describe what "successful" SCBM looks like.

**13. What are the important key factors required to facilitate the success of SCBM?

14. How has the state DOE supported your reform effort? (Which state offices? How have they supported/not supported?)

15. How has the district office supported or not supported your effort?

16. How does SCBM address social and health issues that affect student learning?

Governance/Organizational Systems

1. How was your SCBM Council organized? (Who took the lead in this process?)

2. Describe the organizational structure of your SCBM Council. (How is the Council organized?)

3. In what areas does the SCBM Council exert authority?

4. In what areas should the SCBM Council exert authority?

5. Are the decisions being made reflecting the desired goals and objectives? Is the current effort addressing the focus?

6. What changes have occurred?

7. What effect did the changes have?

8. In what ways and to what extent has SCBM streamlined operations?

9. How important is securing additional funding beyond the regular DOE budget to the success of implementing SCBM? Could you have done it without the money?

10. What evidence or lack of evidence indicates whether or not SCBM is cost effective?

11. What kinds of support services do you feel are critical to the success of SCBM?

Other Comments

1. Are there any other comments?

Appendix E

Team Effectiveness Inventory

THE TEAM EFFECTIVENESS CRITIQUE

by Mark Alexander

Instructions: Indicate on the scales that follow your assessment of your team and the way it functions by circling the number on each scale that you feel is most descriptive of your team.

1. **Goals and Objectives**

   There is a lack of commonly understood goals and objectives.

   Team members understand and agree on goals and objectives.

   1 2 3 4 5 6 7

2. **Utilization of Resources**

   All member resources are not recognized and/or utilized.

   Member resources are fully recognized and utilized.

   1 2 3 4 5 6 7

3. **Trust and Conflict**

   There is little trust among members, and conflict is evident.

   There is a high degree of trust among members, and conflict is dealt with openly and worked through.

   1 2 3 4 5 6 7

4. **Leadership**

   One person dominates, and leadership roles are not carried out or shared.

   There is full participation in leadership; leadership roles are shared by members.

   1 2 3 4 5 6 7

5. **Control and Procedures**

   There is little control, and there is a lack of procedures to guide team functioning.

   There are effective procedures to guide team functioning; team members support these procedures and regulate themselves.

   1 2 3 4 5 6 7

Adapted from "The Team Effectiveness Critique" by Mark Alexander in *The 1985 Annual: Developing Human Resources*, L.D. Goodstein and J.W. Pfeiffer (Eds.). San Diego, CA: University Associates. Copyright 1985 by University Associates.

6. **Interpersonal Communications**

Communications between members are closed and guarded.

Communications between members are open and participative.

7. **Problem Solving/Decision Making**

The team has no agreed-on approaches to problem solving and decision making.

The team has well-established and agreed-on approaches to problem solving and decision making.

8. **Experimentation/Creativity**

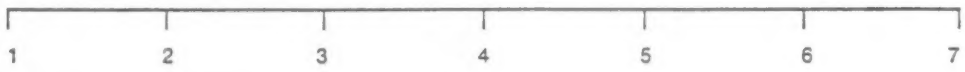
The team is rigid and does not experiment with how things are done.

The team experiments with different ways of doing things and is creative in its approach.

9. **Evaluation**

The group never evaluates its functioning or process.

The group often evaluates its functioning and process.



10. **Roles and Responsibilities**

The roles and responsibilities of team members often overlap or are unclear.

The team members have a good sense of their own roles and responsibilities.